

Edgar Filing: ADA-ES INC - Form 8-K

ADA-ES INC  
Form 8-K  
November 07, 2006

U.S. Securities and Exchange Commission  
Washington, D.C. 20549

FORM 8-K

CURRENT REPORT  
PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

Date of Report (Date of earliest event reported): November 7, 2006

ADA-ES, INC.

-----  
(Exact name of registrant as specified in its charter)

|   |                             |   |
|---|-----------------------------|---|
| Colorado  | 000-50216                   | 84-1457385                              |
| -----   | -----                       | -----                                   |
| (State or other jurisdiction<br>of incorporation) | (Commission<br>File Number) | (I.R.S. Employer<br>Identification No.) |

|  |            |
|--|------------|
| 8100 SouthPark Way, B, Littleton, Colorado | 80120      |
| -----                                      | -----      |
| (Address of principal executive offices)   | (Zip Code) |

Registrant's telephone number, including area code: (303)734-1727

Not Applicable

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(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Item 2.02 Results of Operations and Financial Condition

On November 7, 2006, ADA-ES, Inc. issued a press release announcing its financial results for the fiscal quarter ended September 30, 2006. A copy of the press release is furnished as Exhibit 99.1 to this report.

In accordance with General Instruction B.2 of Form 8-K, the information in this

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Current Report on Form 8-K, including Exhibit 99.1, shall not be deemed to be "filed" for purposes of Section 18 of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), or otherwise subject to the liability of that section, and shall not be incorporated by reference into any registration statement or other document filed under the Securities Act of 1933, as amended, or the Exchange Act, except as may be expressly set forth by specific reference in such filing.

### Item 9.01. Financial Statements and Exhibits

(c)

The following items are furnished as exhibits to this report:

99.1 Press release, dated November 7, 2006, issued by ADA-ES, Inc.

### SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant duly caused this report to be signed on its behalf by the undersigned thereunto duly authorized.

ADA-ES, Inc.  
Registrant

Date: November 7, 2006

/s/ Mark H. McKinnies  
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Mark H. McKinnies  
Chief Financial Officer

### INDEX TO EXHIBITS

| Exhibit No.<br>----- | Description<br>-----                 |
|----------------------|--------------------------------------|
| 99.1                 | Press release dated November 7, 2006 |